



DEFENSE

THREAT

REDUCTION

AGENCY

**CONTRACTOR PERFORMANCE
ASSESSMENT REPORTING SYSTEM
(CPARS)**

AND

**PAST PERFORMANCE AUTOMATED
INFORMATION SYSTEM
(PPAIS)**

JULY 2001

OFFICE OF PRIMARY RESPONSIBILITY: ACQUISITION MANAGEMENT (AM)

TABLE OF CONTENTS

<u>SECTION</u>	<u>PAGE</u>
1. PURPOSE.	1
2. APPLICABILITY AND SCOPE.	3
3. RESPONSIBILITIES	6
4. PROCEDURES	9
5. MANAGEMENT CONTROLS	17
 <u>TABLES</u>	
1. BUSINESS SECTOR AND DOLLAR THRESHOLD FOR CONTRACTOR PERFORMANCE ASSESSMENT REPORT. . .	4
2. CONTRACTOR PERFORMANCE ASSESSMENT REPORT ASSESSING AND REVIEWING OFFICIAL LEVELS . . .	5
3. SCHEDULE OF CPAR EVENTS	11
 <u>ENCLOSURES</u>	
1. BUSINESS SECTORS.	20
2. PERFORMANCE ASSESSMENT ELEMENTS	23
3. COMMON DOD ASSESSMENT RATING SYTEM	24
4. CPAR FORM	25

SUBJECT: Contractor Performance Assessment Reporting System
(CPARS)

References: (a) Federal Acquisition Regulation (FAR) Subpart
42.15

(b) PDUSD (AT&L) Policy Memoranda, Contractor
Performance Assessments, 19 April 1999 and
24 August 1999

(c) DTRA Procurement Manual DTRA 4200.1-M

(d) DoD Guide to Collection and Use of Past
Performance Information, May 1999

1. PURPOSE

1.1. This document sets policy, assigns responsibilities, and provides procedures for systematically assessing contractor performance and collecting Past Performance Information (PPI) on contractors supporting DTRA activities. The process for collecting and storing past performance information for current DTRA contracts is referred to as the Contractor Performance Assessment Reporting System (CPARS). The record containing the evaluation of a contractor's past performance is referred to as the Contractor Performance Assessment Report (CPAR). CPAR records shall be collected and managed by the Acquisition Management Contract Policy and Oversight Division (AMM), hereafter referred to as DTRA/AMM. Access to DoD CPAR reports is accomplished through the Past Performance Automated Information System (PPAIS). The Acquisition Management Acquisition Support Team (AMP), hereafter referred to as DTRA/AMP, provides access to this system.

1.2. A CPAR is a formal report, completed annually, that is held in the PPAIS for future use. The purpose of the CPARS is to ensure that contractor performance data is appropriately assessed, and that feedback regarding performance is conveyed to firms supporting the DTRA mission. In a sense, the CPAR is a "report card" on how well a contractor is performing or has performed on an individual contract. Examples of CPARS information include; the contractor's record of conforming to contract requirements and to standards of good workmanship; the contractor's record of forecasting and controlling costs; the contractor's adherence to contract schedules, including the administrative aspects of

performance; the contractor's history of reasonable and cooperative behavior and commitment to customer satisfaction; and generally, the contractor's business-like concern for the interest of the customer. Together, the CPARS and PPAIS ensure that data on contractor performance is current and available for use in source selections, and that timely contract awards are made to firms that consistently provide quality, on-time products and services in accordance with contractual requirements. Appropriately executed, the CPAR is an invaluable tool to communicate contractor strengths and weaknesses to Source Selection Officials and Contracting Officers. The value of a CPAR to a future source selection team is inextricably linked to the care that is taken in preparing a quality document.

1.3. The CPAR provides a record both positive and negative, on a given contract for a specific period of time. Each assessment must be based on objective facts and be supportable by program and contract management data and performance indicators. The narrative of the CPAR should measure what the contractor promised (the material aspects of the applicable contract) against what was delivered. The assessment should apply both quantitative and qualitative measures and should also consider factors outside the contractor's control, including any Government culpability in performance problems. Subjective assessments (professional judgement) regarding the cause or ramifications of the contractor's performance are acceptable; however, speculation or conjecture shall not be included.

1.4. The CPAR process is designed with a series of checks and balances to facilitate the fair, objective, and consistent evaluation of contractor performance. Both government and contractor perspectives are captured on the CPAR form and made a part of the official record. CPAR records are not subject to "Disputes" as described in FAR Part 33.2, nor are they subject to appeal beyond the procedures described in this document. Additionally, as source selection information, CPARs are exempt from the Freedom of Information Act (FOIA) under exemption (b) (4).

2. APPLICABILITY AND SCOPE

2.1. At DTRA, a CPAR shall be accomplished on contracts meeting "Key Business Sector Definitions" for Services, Operations Support, and Information Technology--See Enclosure 1 for definitions of each sector. The Systems Business Sector is provided for informational purposes only--See Enclosure 1, however, it is not contemplated that the definition will apply to DTRA acquisitions. The CPAR Assessing Official, hereafter referred to as the Program Manager, and Contracting Officer should discuss any questions concerning which business sector applies to a particular contract, with final decision being rendered by the Contracting Officer. When a single contract instrument contains a mixture of sector types, the Contracting Officer shall determine which business sector is appropriate, based upon the preponderance of the contract dollar value. Should the Contracting Officer determine the Systems Business Sector definition applicable, DTRA/AMM should be contacted to obtain specific procedures for such acquisitions as they differ substantially from those prescribed in this document. The CPARS process does not apply to routine construction and Architect and Engineer (A&E) contracts. Contractor performance evaluation for construction contracts shall be completed in accordance with FAR 36.201 for all contracts in excess of \$500K. Evaluations of contractor performance under A&E contracts shall be completed in accordance with FAR 36.604 for all contracts in excess of \$25K.

2.2. A CPAR must be completed on each contract meeting the Key Business Sector Thresholds set forth in Table 1 below.

TABLE 1 - CPARS BUSINESS SECTOR AND DOLLAR THRESHOLDS

BUSINESS SECTOR	DOLLAR THRESHOLD ¹
Services	<u>></u> \$1,000,000
Information Technology	<u>></u> \$1,000,000
Operations Support	<u>></u> \$5,000,000
¹ The contract thresholds for collection apply to the "as-modified" total value of contracts; that is, if a contract's original value was less than the applicable threshold, but subsequently the contract was modified and the revised total value is equal to, or greater than the threshold, then a performance assessment (or assessments) should be made, starting with the first anniversary that the contract's total value exceeded the threshold. If the contract threshold is expected to exceed the collection threshold by exercising options, modification or order, it may be advisable to initiate the PPI collection process prior to the contemplated action. The term contract, as used in this document, includes orders and Blanket Purchase Agreements (BPAs) issued under FAR 8.4 (Federal Supply Schedules).	

2.3. The contractor and government personnel as indicated in Table 2 below shall participate in the CPAR process.

TABLE 2 - CPAR ASSESSING OFFICIAL AND REVIEWING OFFICIAL LEVELS

Nature/Category of Acquisition/Program	Contracts <\$50M	Contracts Between \$50M-\$150M	Contracts >\$150M
Services (>\$1M), Information Technology (>\$1M)	Assessing Official: Program Manager (PM) Other Assessment Participants: COR, Contracting Officer (CO) ⁽¹⁾ , RM, other subject matter experts Rev. Official: Two letter level	Assessing Official: PM Other Assessment Participants: COR, CO ⁽¹⁾ , RM, other subject matter experts Rev. Official: Deputy Director ⁽²⁾	Assessing Official: PM Other Assessment Participants: COR, CO ⁽¹⁾ , RM, other subject experts Rev. Official: Deputy Director ⁽²⁾
Operations Support (>\$5M)	Assessing Official: PM Other Assessment Participants: COR, CO ⁽¹⁾ , RM, other subject matter experts Rev. Official: Two letter level	Assessing Official: PM Other Assessment Participants: COR, CO ⁽¹⁾ , RM, other subject experts Rev. Official: Deputy Director ⁽²⁾	Assessing Official: PM Other Assessment Participants: COR, CO ⁽¹⁾ , RM, other subject experts Rev. Official: Deputy Director ⁽²⁾

⁽¹⁾ the Contracting Officer reviews all comments for consistency and completeness prior to release to Contractor for comment.

⁽²⁾ Deputy Director, DTRA is the Reviewing Official for actions \geq \$50M. This authority may be delegated.

\$ Thresholds are based on total value of the contract. If the face value of the contract increases to a higher threshold before the end of the evaluation period under consideration, the assessing and reviewing official levels for the higher threshold shall apply to that evaluation.

2.4. CPAR Requirements--based on contractor type:

2.4.1. A CPAR shall be accomplished on any joint-venture contract (more than one prime contractor) exceeding the business sector dollar threshold in Table 1. Joint-venture contractors shall be rated on the same report and the report input to the PPAIS clearly identifying each of the participating contractors.

2.4.2. A CPAR shall be accomplished on applicable first-tier subcontractors for contracts awarded to the Small Business Administration under the 8(a) program.

2.5. Other CPAR Requirements--based on contract type:

2.5.1. In the case of Indefinite Delivery (Definite Quantity, Requirements, or Indefinite Quantity) contracts, a CPAR shall be accomplished when performance has begun if the estimated or maximum quantity of the contract meets or exceeds the applicable Key Business Sector dollar threshold. The Program Manager may elect to accomplish one CPAR for all orders, accomplish one CPAR for each order, or combine the two approaches(i.e., combine several orders under one CPAR for the contract and accomplish individual CPAR assessments for individual orders). The selected mode should, however, be clearly communicated to the contractor in the applicable contract provision. If orders are placed against contracts let by another agency, the DTRA Contracting Officer shall contact the contracting activity responsible for the other agency's contract to determine who will complete the CPAR.

2.5.2. In the case of orders against General Services Administration (GSA) Federal Supply Schedule contracts, the DTRA organization receiving the services shall assess the contractor's performance and complete a CPAR. If a Blanket Purchase Agreement (BPA) is established under GSA Federal Supply Schedules, a single CPAR may be completed on the BPA or a separate CPAR may be prepared for each BPA order that exceeds the threshold. The method to be used will be disclosed to the contractor when the BPA is established.

2.6. CPARs on classified contracts shall **not** be entered into the PPAIS. Copies of classified CPARs will be maintained and distributed in accordance with agency security procedures.

3. RESPONSIBILITIES

3.1. The Director, Acquisition Management, is responsible for the overall implementation of the CPARS and PPAIS processes for the DTRA to include the following:

3.1.1. Establishing and maintaining current procedures to implement the CPARS. AM's responsibilities include providing necessary training and tools to ensure timely processing of CPARS actions, and internal procedures to monitor system performance.

3.1.2. Designating an internal CPARS management office to ensure that CPARS for contracts are entered (registered) into the PPAIS and assist Program Managers and Reviewing Officials in performing their duties under this Policy. The designated CPARS management office is the Acquisition Management Contract Policy and Oversight Division (DTRA/AMM).

3.1.3. Ensuring AM Contracting Officers perform the duties prescribed by this Policy.

3.1.4. Establishing, maintaining, and presenting metrics regarding the status of CPARS actions on all contracts that require CPAR assessments.

3.2. Contracting Officers are responsible for the following:

3.2.1. Ensuring that contractor evaluations are conducted fairly and are based on sound analytical techniques and rationale, and that CPAR records are safeguarded as Source Selection Information in accordance with FAR 3.104.

3.2.2. Ensuring that all current applicable contracts and those awarded from the effective date of this policy forward set forth provisions that specify the frequency of, and the individual(s) responsible for past performance assessments.

3.2.3. Appointing (in writing) Contracting Officer Representatives (CORs) as necessary to monitor contract performance.

3.2.4. Ensuring any changes to the CPAR schedule and participants are accomplished through bilateral contract modifications prior to processing the next applicable CPAR.

3.2.5. Serving as the primary conduit to contractors relative to CPAR communications, and participating in all exchanges with the contractor under review. This responsibility shall cover all communication and exchanges outside of the core PPAIS processes identified for Program Manager and Review Authority use.

3.3. Program Managers are responsible for the following:

3.3.1. Pro-actively identifying (to the Contracting Officer) functional representatives to monitor and assist in evaluating contractor performance. The name, phone number and e-mail address of each recommended individual shall be provided.

As a practical matter, the PM may delegate the preparation and processing of CPAR elements to the day-to-day technical manager or the COR, however, the Program Manager retains the overall responsibility for CPAR execution.

3.3.2. When necessary, the Component Acquisition Executive (CAE) or designee may establish a central Assessing Official to evaluate contractor performance under contracts that support multiple DTRA users. Such appointments shall be in writing, with applicable responsibilities clearly defined.

3.3.3. Validating all assessment inputs in the PPAIS and assigning CPAR ratings before the CPAR is sent to the Contracting Officer for review—i.e., prior to it being forwarded to the contractor for comment.

3.3.4. Designating an individual in their organization to interface with Executing Agents from other Federal agencies that issue contracts in direct support of the DTRA mission. Ensure DTRA has an opportunity to provide input relative to contractor performance, and obtain copies of final CPARs for DTRA retention.

3.4. Reviewing Official: An individual, at least at the Two Letter level, whom provides a necessary check-and-balance to ensure process integrity. Reviewing Officials are responsible for:

3.4.1. Resolving disagreements between the Program Manager, Contracting Officer, or outside agency when participants do not agree on the CPAR ratings or the specifics in written narratives. Disagreements should be resolved prior to sending the CPAR to the contractor for comment.

3.4.2. Fairly addressing any contractor comments that are counter to the government's evaluation.

3.4.3. Providing comments to the PPAIS as appropriate. While the reviewing official does not have the authority to modify the CPAR ratings and narrative inputs accomplished by the Program Manager, his/her determination represents DTRA's final official assessment of the contractor's performance during the evaluated rating period (for CPARs processed by the DTRA). The official's name, title and comments become a part of the official CPAR.

3.5. DTRA/AMM is responsible for the following:

3.5.1. Managing, distributing, and controlling CPAR

records. Managing the PPAIS, and assisting customers to ensure that reports are timely and of high integrity.

3.5.2. Maintaining the master CPAR database for DTRA contracts in the PPAIS for use on future source selections. Hardcopy records shall also be maintained.

3.5.3. Tracking and suspending the CPAR evaluations and providing notification and instructions in a timely manner. DTRA/AMM shall also monitor the status of late reports, and generate monthly metrics showing the status of each CPAR being processed.

3.5.4. Ensuring action by the Reviewing Official is accomplished as required, and that applicable comments are captured in the PPAIS.

3.5.5. Training AM personnel, and supporting DTRA/AMP training initiatives as required.

3.6. DTRA/AMP is responsible for the following:

3.6.1. Assisting acquisition teams with CPARS and PPAIS procedures, and training multi-functional teams as necessary.

3.6.2. Advising DTRA/AMM of process problems, and policy/training needs.

3.6.3. Providing PPAIS access to authorized individuals (e.g., Program Managers, CORs, Contractors, and DTRA Reviewing Officials) in order for them to input PPI and to view CPAR forms and reports. Terminating access as necessary and appropriate.

4. PROCEDURES

4.1. An evaluation of contractor performance shall be made and recorded for all DTRA contracts in accordance with this Policy. CPAR records shall be accomplished on all DTRA contracts, orders, and blanket purchase agreements executed under GSA Federal Supply Schedules that meet or exceed the thresholds set forth in this policy (see Table 1).

4.2. All CPAR information will be marked and treated as Source Selection Information in accordance with FAR 3.104. All CPARS data shall be marked **"For Official Use Only", Source Selection Information—See FAR Part 3.104**. CPAR records shall retain this designation until destroyed, as they will be used to

support future source selections. Distribution of CPAR hard-copy records to other authorized Federal activities shall only be accomplished as appropriate by DTRA/AMM, and access to the PPAIS shall be governed by DTRA/AMP to individuals with an official need for access.

4.3. A CPAR shall be completed within 90 days following the end of the evaluation period. The activities in Table 3 apply.

TABLE 3—SCHEDULE OF CPAR EVENTS

Responsible Office	CPAR Activity	Milestone
DTRA/AMM	Provide e-mail notification to the Program Manager that a CPAR is due	30 Calendar Days before annual anniversary of contract start date
Program Manager	Gather rating information and perform rating and narrative inputs in the database and send e-mail notice to Contracting Officer (CO). (Do not notify contractor that CPAR is ready for comment until the CO reviews the CPAR).	60 Calendar days to gather and develop assessment information following notification by CPAR Focal Point—enter information in database no later than 30 calendar days after the annual anniversary date of the contract.
Contracting Officer	Review assessment to ensure ratings are supportable and narrative provides rationale for rating. Address any issues with the Program Manager.	10 Calendar Days (NLT 40 calendar days after the annual anniversary date of the contract)
Program Manager	Processes notification for Contractor comment. If hardcopy CPAR needs to be sent to the contractor, the CO or DTRA/AMM shall send the CPAR with a transmittal memo to the contractor via certified mail or hand receipt.	5 Calendar Days (NLT 45 Calendar Days after the annual anniversary Date of the contract)
Contractor	Contractor Comment	30 Calendar Days (NLT 75 Calendar Days after annual anniversary date of the contract.) CPAR is complete if contractor agrees with assessment and annotates database
Program Manager	Reviews contractor comments and notifies Reviewing Official if the contractor disagrees with ratings	5 Calendar Days (NLT 80 Calendar Days after the annual anniversary date of the contract.)
Reviewing Official	Reviews disagreement, reconciles rating issues, and inputs comments	10 Calendar Days (NLT 90 days after annual anniversary of contract).

4.4. Frequency of Reports

4.4.1. Annual Reports. An annual CPAR is required for all contracts with a total value meeting or exceeding the dollar thresholds set forth in Table 1. The initial annual report will cover the period commencing on the contract start date (or year that the contract exceeded the Table 1 threshold) and ending on the anniversary of that start date. For the initial report, DTRA Program Manager should have at least 180 days experience with the contractor in order to

execute a fair report. Otherwise, the initial report should start on the next annual anniversary date. Subsequent annual reports are considered intermediate reports. These reports will be accomplished based on the annual anniversary date until the last year of the contract. To improve efficiency in preparing the CPAR, the CPAR should take into consideration other reviews applicable to the evaluation period (e.g. award fee determinations, major program events, or program milestones).

4.4.2. DoD Acquisition Technology and Logistics office policy requires that informal quarterly assessments be accomplished on research and development contracts valued at \$50M and greater. The process mirrors that of a routine CPAR; however, the data is not entered into the PPAIS. The quarterly assessments provide the performance information on which the annual report shall be based.

4.4.3. Final Reports. A final CPAR will be completed upon contract termination, transfer of program management/contract management responsibility outside of DTRA, the delivery of the end item on contract and/or the completion of the performance period. The report shall only cover the period elapsing from the last annual (intermediate) CPAR. The CPAR may be completed on contracts where the final period of performance is less than 365 days, however, if the time remaining between the last intermediate CPAR and the final period is less than 18 months, a final report may be filed at the end of the contract encompassing the remaining 18 months or less (in lieu of another annual intermediate CPAR and a 6 month final CPAR). The final CPAR shall not be used to summarize or "roll-up" the contractor's performance under the entire contract. Each annual report and the final report together will comprise a total picture of contract performance.

4.5. Out-of-Cycle Reports_

4.5.1. An Out-of-Cycle CPAR may be required when there is a significant change in performance that alters the assessment in one or more evaluation area(s). When a significant change in performance has occurred, the contractor may request an updated (new) assessment or the assessing official may unilaterally determine to prepare an updated (new) assessment and process an Out-of-Cycle (new) CPAR. This is an optional report; the determination as to whether or not to update an assessment shall be at the Program Manager's discretion. An updated report shall only address the evaluation areas in which a change in performance has been observed. All

Out-of-Cycle CPARs shall be forwarded to the contractor for comment through the Reviewing Official.

4.5.2. Prior to a Program Manager leaving the program or technical office (or prior to a contract being transferred), the individual shall complete an informational CPAR if at least four months have elapsed since the last CPAR was completed. This informational report does not require Reviewing Official or contractor review; rather, it should be provided to the succeeding Program Manager to be used as background information when completing the next CPAR. Under no circumstances shall an informational CPAR be input into the PPAIS.

4.5.3. Assessment Addendums. Addendum reports may be prepared, after the final past performance evaluation, to record the contractor's performance relative to contract close-out and other administrative requirements. Contractor input is required on all addendums.

4.6. CPAR Critical Processes

4.6.1. Government evaluators shall meet with contractor personnel at the start of the contract performance/CPAR evaluation period to review the evaluation process. The objective of the meeting is to ensure all parties understand what the CPAR process entails, and how it shall be used. The meeting also provides an opportunity for the individuals (government and contractor) responsible for CPAR evaluations to meet.

4.6.2. The Program Manager processes the CPAR, using the enclosures to this directive. The assessment should be based on multi-functional team input from individuals/organizations familiar with the contractor's performance.

4.6.3. Program Managers shall consider all appropriate performance indicators available to them. Inputs from DCMC/DCAA and technical users should be considered as appropriate, along with award fee determinations if applicable to the rating period. CPAR ratings and narratives are limited to the stated period of the report, and the Program Manager official should carefully evaluate any variances between a CPAR and applicable award fee determination for accurateness and supportability.

4.6.4. The Reviewing Official should be consulted as necessary to resolve disagreements between team members, and the government and contractor.

4.6.5. Contractors shall be given an opportunity to review and comment on the CPAR. As pro-active communication and feedback regarding contractor performance are always encouraged, the Program Manager and Contracting Officer may consider issuing a printed DRAFT CPAR, and allowing the contractor an opportunity to present information on its own behalf through a pre-assessment performance briefing. The Contracting Officer shall be included in any a pre-assessment performance briefing activities.

4.7. Processing an Individual CPAR_

4.7.1. Upon notification by DTRA/AMM, the Program Manager shall complete the CPAR electronically utilizing the applicable assessment elements (Enclosure 2). Ratings shall follow the common DoD rating system (Enclosure 3). After preparing the CPAR form (Enclosure 4), the Program Manager shall electronically notify (e-mail) the Contracting Officer that the evaluation is ready for contractor comment. The Contracting Officer shall thoroughly review the assessment for completeness, and provide electronic concurrence (e-mail) to the Program Manager. If the Contracting Officer disagrees with the Program Manager's ratings or comments, he/she should raise areas of concern and attempt to resolve opposing issues at the working level. If the two cannot resolve these issues, they should inform the Reviewing Official and seek direction before proceeding. In these cases, the Reviewing Official should consider the need to send a DRAFT CPAR to the contractor for preliminary comments. In the case of disagreements between the Program Manager and Contracting Officer, no transmittal action shall be taken without the express concurrence of the Reviewing Official.

4.7.2. When the CPAR is ready for formal contractor comment, the Program Manager, after coordination with the Contracting Officer, shall make the CPAR available to the designated official (CEO, Chief Operating Officer, or President) in the contractor's organization for comment. The preferred method of obtaining contractor comments is by secure electronic password protected data entry using the PPAIS. If circumstances require a written (hardcopy) CPAR to be sent, this action shall be accomplished by the Contracting Officer by hand receipt or certified mail. Direct input of contractor comments into CPARS and access to CPAR records must be properly restricted to permit

access only to the specific company/corporate division identified in the CPAR. A transmittal letter containing the following information must accompany the CPAR if hand delivery or mail modes are utilized, and all materials shall be handled and protected in accordance with the requirements for transmitting source selection information as prescribed in FAR Part 3.104. All CPARs shall be marked as follows, "**Source Selection Information—See FAR Part 3.104" and "For Official Use Only (When Filled In)".**

4.7.3. The contractor shall strictly control access to the CPAR while it is in their organization, to include ensuring the CPAR is never released to persons or entities outside the contractor's control. Additionally, the contractor shall be put on notice that the use of, or reference to CPAR data for advertising, promotional endeavors, pre-award surveys, responsibility determinations, proposal submittals, production readiness reviews, or other similar purposes is strictly prohibited.

4.7.4. The contractor may provide comments in response to the assessment, or return the assessment without comment. Advise the contractor that if comments are provided, they are due to the originating office within 30 calendar days after receipt. Comments should be focused on the assessing official's rating and supporting narrative and provide views on causes and ramifications of the assessed performance.

4.7.5. Advise the contractor that if a meeting is desired to discuss the CPAR evaluation, it must be requested in writing, no later than 7 calendar days from the receipt of the CPAR. This meeting will be held during the contractor's 30-day review period.

4.7.6. If the contractor does not add comments or return the hardcopy CPAR within the allotted 30 days, the Program Manager may then finalize the CPAR. The report should be annotated: "The report was delivered/received by the contractor on (date). The contractor did not offer comments in response to this assessment."

4.7.7. If the contractor agrees with the evaluation and comments, the CPAR is processed through the PPAIS as a completed CPAR.

4.7.8. If the contractor comments on the CPAR, the

Program Manager shall review the comments, consult with the Contracting Officer and determine if a revised CPAR is warranted. If the comments convey a disagreement with the rating given, and the Program Manager determines a revision is not warranted, the CPAR shall be forwarded directly to the Reviewing Official for review and comment. The Program Manager and Contracting Officer shall arrange to meet with the reviewing official who will address the disagreement by adding comments in the space provided on the on the CPAR form. If requested, the Program Manager shall provide the Reviewing Official with an explanation of the evaluation ratings and why he/she does not agree with the contractor's rebuttal.

4.7.9. When contractor comments are received, the Program Manager may determine that a revised evaluation is warranted. In this case, the Program Manager may revise the CPAR by creating a new CPAR reflecting the current ratings and narrative information. The Program Manager shall explain the reasons for the revised ratings in the appropriate comment block in the revised CPAR record. The revised CPAR will be noted "Revision to CPAR for the period _____", forwarded to the Reviewing Official who enters both the original CPAR and the revised CPAR into the PPAIS following review.

4.7.10. If circumstances require that hardcopy CPAR comments be transmitted back to the originating office, advise the contractor that CPAR documents shall be marked, handled, and safeguarded as "Source Selection Information" in accordance with FAR Part 3.104. The letter or notice to the contractor shall state that the CPAR is prepared for use by the Government to potentially support future procurements, and that unauthorized disclosure is strictly prohibited.

4.7.11. The Program Manager shall notify the contractor of any revisions made to a report as a result of the contractor's comments. The revised CPAR shall not be sent to the contractor for further comment. The contractor will have access to both the original and the revised CPAR in the PPAIS database.

4.7.12. To facilitate future CPAR preparation, the Program Manager may retain CPAR copies and working papers associated with CPAR evaluations. However, all retained CPAR copies and working papers shall be appropriately marked and safeguarded.

4.7.13. The Reviewing Official's comments on the CPAR

will acknowledge consideration and reconciliation, if possible, of any significant discrepancies between the Program Manager's assessment and the contractor's comments. The reviewing official does not have the authority to modify the CPAR ratings and narrative inputs made by the Program Manager. The reviewing official only comments on the CPAR ratings and then submits the CPAR as ready for use in future source selections. When the reviewing official enters comments on the CPAR, it is considered complete. The Reviewing Official's comments are not sent to the contractor for further consideration or discussion.

4.7.14. The Program manager shall advise the contractor that a copy of the completed CPAR is available through the PPAIS once the final report is input. A hardcopy of the CPAR will be furnished if the designated contractor focal point (i.e., CEO, Chief Operating Officer, or President) requests a copy of the completed CPAR. The request must be made in writing to the Contracting Officer who has the responsibility to handle such requests.

5. MANAGEMENT CONTROLS

5.1 Management of CPARS Activities

5.1.1. All annual and final CPAR records for a given contract shall be retained together for use for three years after completion of the contract. At the three-year point, for a applicable contract shall be purged from the database by DTRA/AMM. The completion of the contract, as determined by the Contracting Officer, determines the baseline on which the three-year retention period begins.

5.1.2. Access to CPAR data will be controlled by the DTRA/AMM and AMP. Government activities requesting past performance information on DTRA contracts will be referred to the DTRA/AMP. DTRA/AMP in concert with DTRA/AMM shall assist these activities in obtaining copies of completed CPAR records or in obtaining information needed to access CPAR records in the PPAIS.

5.2. CPAR Markings and Protection

5.2.1. The contracting officer and Program Manager are dually responsible for ensuring that all CPAR records are appropriately marked, handled, safeguarded, and destroyed as appropriate. All data shall be marked as "**Source Selection Information—See FAR Part 3.104**" and "**For Official Use Only.**"

5.2.2. A CPAR generally contains information that is considered proprietary to the contractor. Information contained on the CPAR such as trade secrets and confidential commercial or financial data obtained from the contractor in confidence, shall also be protected from unauthorized disclosure. Additionally, the CPAR may contain valuable government-generated commercial information that will be used in the award of government contracts. Such commercially valuable information must be protected from unauthorized disclosure. Based on the confidential nature of the CPAR, support contractors shall not prepare a CPAR or have access to CPAR records. Support contractors (other than the one being rated), may provide factual input and related analyses of performance data which may be used by the Program Manager in writing the CPAR when such involvement is approved by the Contracting Officer.

5.3. Internal Government Protection

5.3.1 All CPAR records must be treated as source selection information at all times. Access to CPAR records among activities in support of developing and using the CPAR will be controlled by the CPAR focal point. Information contained in the CPAR must be protected in the same manner as information contained in completed source selection files.

5.3.2 CPAR data shall not be used to support pre-award surveys, debarment proceedings or other internal government reviews.

5.4. External Government Protection

5.4.1. Due to the sensitive and confidential nature of CPAR records, disclosure of CPAR data to contractors other than the contractor that is the subject of the report, or other entities outside the government, is not authorized. A contractor will be granted access to its CPAR records maintained in the PPAIS by DTRA/AMM. If requested in writing by the designated CEO, Chief Operating Officer, or President, a hardcopy of the applicable CPAR will be furnished. Under no circumstance shall DTRA agree to send a contractor's CPAR to another contractor such as a prospective prime or subcontractor, or allow such contractors to access records on contracts other than their own. The CEO, Chief Operating Officer, or president for the corporate entity/division evaluated is the only individual who may grant disclosure to corporate personnel to review CPAR records in the PPAIS. With appropriate written

authorization, a company official may be granted access to review CPAR records prepared for several divisions of a corporation. The CPAR access letter must be presented to DTRA/AMM through the Contracting Officer.

5.4.2. As determined appropriate by DTRA/AMM, summary data extracted from the CPARS data base or from the reports themselves may be used to measure general trends in industry performance, and to support continuous process improvement provided that the data used does not reveal individual contract or contractor performance in any form.

5.5. Use of CPARS in Source Selection

5.5.1. DTRA source selection evaluation teams shall consider CPAR records from the PPAIS in their evaluation of the past performance records of individual offerors. CPARS provided through the PPAIS are only one source of information, and additional sources should be considered.

5.5.2. Source selection officials using the PPAIS may retrieve CPARS for use on source selection activities. Access to the CPARS is granted through DTRA/AMP.

ENCLOSURE 1
BUSINESS SECTORS

KEY BUSINESS SECTORS

DTRA CPARS will identify the Key Business Sector and applicable sub-sector from this enclosure.

SERVICES - Generally, this sector includes all contracted services except for basic construction & architect-engineering services.

- **Professional/Technical & Management Support Services:** Includes all consultant and professional support services—those related to scientific (research and development) and technical matters (e.g., engineering, computer software engineering and development), as well as those related to organizational structure, human relations, etc. Includes office administrative support services (e.g., operation of duplication centers, temporary secretarial support, etc.).
- **Installation Services:** Includes services for maintenance and minor repairs to buildings and utilities services, etc. Includes contracted security and guard and similar services.

INFORMATION TECHNOLOGY - This sector includes any equipment or interconnected system or subsystem of equipment, that is used in the automatic acquisition, storage, manipulation, management, movement, control, display, switching, interchange, transmission or reception of data or information. Generally, includes all computers, ancillary equipment, software, firmware and similar procedures, services (including support services), and related resources. More specifically this sector includes:

- **Software:** A set of computer programs, procedures, and associated documentation concerned with the operations of a data processing system; e.g., compilers, library routines, manuals and circuit diagrams. Information that may provide instructions for computers; data for documentation; and voice, video, and music for entertainment and education.
- **Hardware:** Physical equipment as opposed to programs, procedures, rules and associated documentation. In automation, the physical equipment or devices forming a computer and peripheral components.
- **Telecommunications Equipment or Services:** Circuits or equipment used to support the electromagnetic and/or optical dissemination, transmission, or reception of information via voice, data, video, integrated telecommunications transmission, wire, or radio. The equipment or service must be a complete component capable of standing alone. This includes the following type of items: telephones, multi-plexers, a telephone switching system, circuit termination equipment, radio transmitter or receiver, a modem, card cage with the number and type of modem cards installed, etc. This does not include the following type of items: a chip, circuit card, equipment rack, power cord, a microphone, headset, etc.

ENCLOSURE 1
BUSINESS SECTORS

KEY BUSINESS SECTORS

OPERATIONS SUPPORT - Generally, this sector includes work that requires a lesser amount of engineering development work than "Systems", as defined below, or that can be acquired on a non-developmental, or commercial off the shelf basis. This sector also includes consumables, equipment, and personal property items needed to maintain installations and support mission needs.

SYSTEMS BUSINESS SECTOR

SYSTEMS - Generally, this sector includes products that require a significant amount of new engineering development work. Includes major modification/upgrade efforts for existing systems, as well as acquisition of new systems, such as aircraft, ships, etc.

Aircraft: Includes fixed and rotary wing aircraft, and their subsystems (propulsion, electronics, communications, ordnance, etc.)

Shipbuilding: Includes ship design and construction, ship conversion, small craft (e.g., rigid inflatable boats) and associated contractor-furnished equipment, as well as ship overhaul and repair.

Space: Includes all satellites (communications, early warning, etc.), all launch vehicles, strategic ballistic missiles, and all associated subsystems, including guidance and control.

Ordnance: Includes all artillery systems [except non-Precision Guided Munitions (PGM) projectiles], tactical missiles (air-to-air, air-to-ground, surface-to-air, and surface-to-surface) and their associated launchers, and all PGM weapons and sub-munitions, such as the Joint Direct Attack Missile, the Sensor-Fused Weapon and the "Brilliant Antitank" weapon (BAT).

Ground Vehicles: Includes all tracked combat vehicles (e.g., tanks and armored personnel carriers), wheeled vehicles (e.g., trucks, trailers, specialty vehicles), and construction and material handling equipment requiring significant new engineering development. Does not include commercial equipment typically acquired from existing multiple award "schedule" contracts (e.g., staff cars, base fire trucks, etc.)

Training Systems: Generally, includes computer-based (or embedded) virtual and synthetic environments and systems of moderate to high complexity capable of providing training for air, sea, and land based weapons, platforms, and support systems readiness. Does not include operation and maintenance support services beyond the scope of the initial training system acquisition, or basic and applied research in these areas.

Other Systems: Includes technologies and products that, when incorporated into other systems such as aircraft and ships, are often categorized as subsystems. However, many of these products

are often acquired as systems in their own right, either as "stand-alone" acquisitions or as the object major modification/upgrade efforts for ships, aircraft, etc. Examples of other systems include: Command, Control, Communication, Computer and Intelligence (C⁴I) systems, airborne and ship-borne tactical computer systems, electrical power and hydraulic systems, radar and sonar systems, electronic warfare systems, propulsion systems, etc.

ENCLOSURE 2
Performance Assessment Elements

DoD collects PPI using the following assessment elements within the Services, Information Technology and Operations Support sectors (DTRA CPARS will use these assessment elements as applicable):

QUALITY OF PRODUCT OR SERVICE. Assess the contractor's conformance to contract requirements, specifications and standards of good workmanship (e.g., commonly accepted technical, professional, environmental, or safety and health standards.)

SCHEDULE. Assess the timeliness of the contractor against the completion of the contract, task orders, milestones, delivery schedules, administrative requirements (e.g. efforts that contribute to or effect the schedule variance).

COST CONTROL. (Not required for Firm Fixed Price or Firm Fixed Price with Economic Price Adjustment) - Assess the contractor's effectiveness in forecasting, managing, and controlling contract cost.

BUSINESS RELATIONS. Assess the integration and coordination of all activity needed to execute the contract, specifically the timeliness, completeness and quality of problem identification, corrective action plans, proposal submittals, the contractor's history of reasonable and cooperative behavior, customer satisfaction, timely award and management of subcontracts, and whether the contractor met small/small disadvantaged and women-owned business participation goals (in its Subcontracting Plan).

MANAGEMENT OF KEY PERSONNEL (For Services and Information Technology Business Sectors Only). Assess the contractor's performance in selecting, retaining, supporting, and replacing, when necessary, key personnel.

ENCLOSURE 3
Common DoD Assessment Rating System

DTRA CPARS will use the following DoD Assessment Ratings:

Exceptional. Performance meets contractual requirements and exceeds many to the Government's benefit. The contractual performance of the element or sub-element being assessed was accomplished with few minor problems for which corrective actions taken by the contractor were highly effective.

Very Good. Performance meets contractual requirements and exceeds some to the Government's benefit. The contractual performance of the element or sub-element being assessed was accomplished with some minor problems for which corrective actions taken by the contractor were effective.

Satisfactory. Performance meets contractual requirements. The contractual performance of the element or sub-element contains some minor problems for which corrective actions taken by the contractor appear or were satisfactory.

Marginal. Performance does not meet some contractual requirements. The contractual performance of the element or sub-element being assessed reflects a serious problem for which the contractor has not yet identified corrective actions. The contractor's proposed actions appear only marginally effective or were not fully implemented.

Unsatisfactory. Performance does not meet most contractual requirements and recovery is not likely in a timely manner. The contractual performance of the element or sub-element contains serious problem(s) for which the contractor's corrective actions appear or were ineffective.

Note: The critical sentence in DoD's assessment rating system is the second sentence that recognizes the contractor's resourcefulness in overcoming challenges that arise in the context of contract performance.

Although the adjectival ratings are required on the official CPAR, the following color-rating scheme equates to the above ratings. The use of color-ratings is generally beneficial in discussing contractor performance, however, the color-ratings shall be converted to the applicable adjectival rating when inputting data to the PPAIS.

Dark Blue (Exceptional)	Yellow (Marginal)
Purple (Very Good)	Red (Unsatisfactory)
Green (Satisfactory)	

ENCLOSURE 4
CONTRACTOR PERFORMANCE ASSESSMENT REPORT FORM

Note: This form is automatically generated by the PPAIS.

SERVICES, INFORMATION TECHNOLOGY, AND OPERATIONS SUPPORT CPAR FORM

CONTRACTOR PERFORMANCE ASSESMENT REPORT (CPAR)												Services Information Technology Operations Support				
(Source Selection Sensitive Information) (See Far 3.104)																
1. NAME/ADDRESS OF CONTRACTOR <i>(Division)</i>				2.		INITIAL			INTER-MEDIATE			FINAL REPORT			ADDENDUM	
3. PERIOD OF PERFORMANCE BEING ASSESSED																
CAGE CODE			DUNS+4 NUMBER			4a. CONTRACT AND ORDER NUMBER				DoD BUSINESS SECTOR & SUB-SECTOR						
FSC OR SERVICE CODE			SIC Code			5. CONTRACTING OFFICE (ORGANIZATION AND CODE)										
6. LOCATION OF CONTRACT PERFORMANCE <i>(If not in item 1).</i>						7a. CONTRACTING OFFICER				7b. PHONE NUMBER						
						8. CONTRACT AWARD DATE				9. CONTRACT COMPLETION DATE						
						10. N/A										
						11. AWARDED VALUE				12. CURRENT CONTRACT DOLLAR VALUE						
						13.				COMPETITIVE				NON-COMPETITIVE		
14. CONTRACT TYPE																
	FFP		FPI		FPR		CPFF		CPIF		CPAF		MIXED		OTHER	
15. KEY SUBCONTRACTORS AND DESCRIPTION OF EFFORT PERFORMED																
16. PROGRAM TITLE AND PHASE OF ACQUISITION <i>(If Applicable)</i>																
17. CONTRACT EFFORT DESCRIPTION <i>(Highlight key components, technologies and requirements; key milestone events and major modifications to contract during this period.)</i>																
						CURRENT RATING										
18. EVALUATE THE FOLLOWING AREAS						PAST Rating	Unsatisfactory	Marginal	Satisfactory	Very Good	Exceptional	N/A				
A. QUALITY OF PRODUCT OR SERVICE																
b. SCHEDULE																
c. COST CONTROL																
d. BUSINESS RELATIONS																
e. MANAGEMENT OF KEY PERSONNEL*																
f. OTHER AREAS																
(1)																
(2)																

*Not applicable to Operations Support

SOURCE SELECTION INFORMATION—SEE
FAR PART 3.104 AND FOR OFFICIAL USE
ONLY *(When Filled In)*

SERVICES, INFORMATION TECHNOLOGY, AND OPERATIONS SUPPORT

CPAR FORM (continued)

FOR OFFICIAL USE ONLY (When Filled In)

19. N/A		
20. ASSESSING OFFICIAL (PROGRAM MANAGER OR EQUIVALENT INDIVIDUAL RESPONSIBLE FOR PROGRAM, PROJECT, OR TASK/JOB ORDER EXECUTION) NARRATIVE (SEE PARA. 1.3)		
21. TYPE NAME AND TITLE OF ASSESSING OFFICIAL (SEE PARA. 1.3)	ORGANIZATION & CODE	PHONE NUMBER
SIGNATURE	DATE	
22. CONTRACTOR COMMENTS (<i>CONTRACTOR'S OPTION</i>)		
23. TYPE NAME AND TITLE OF CONTRACTOR REPRESENTATIVE	PHONE NUMBER	
SIGNATURE	DATE	
24. REVIEW BY REVIEWING OFFICIAL (COMMENTS OPTIONAL)		
25. TYPE NAME AND TITLE OF REVIEWING OFFICIAL	ORGANIZATION AND CODE	PHONE NUMBER
SIGNATURE	DATE	

SOURCE SELECTION INFORMATION—SEE FAR PART 3.104 AND FOR OFFICIAL USE ONLY (*When Filled In*)